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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/749,814	12/30/2003	Court V. Lorenzini	DOCU-1-1010	9373

25315 7590 06/29/2006

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SEATTLE, WA 98104

EXAMINER
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ROSE, HELENE ROBERTA

ART UNIT	PAPER NUMBER
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2163

DATE MAILED: 06/29/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	10/749,814	LORENZINI ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Helene Rose	2163	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 30 December 2003.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-31 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-31 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 30 December 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)             | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)    | Paper No(s)/Mail Date. _____  |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____   | 6) <input type="checkbox"/> Other: _____                                    |

**Detailed Action**

1. Claims 1-17 have been presented for examination.
2. Claims 1-17 have been rejected.

**Claim Rejections – 35 U.S.C – 102**

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1-31 have been rejected under 35 U.S.C. 102(e) as being anticipated by Brown et al. (US Patent No. 6,671,805, Filing Date of Patent: June 17, 1999).

Claims 1, 12, 20 and 29:

Regarding Claims 1, 12, 20 and 29, discloses an method/electronic signature system, wherein

**Brown** teaches an electronic signature system, comprising:

a data network (column 9, lines 43-45, Brown);

a document processing system (see abstract, Brown), comprising:

a registering component for identifying a particular document created by an application (column 8, lines 35-47, Brown);

an assigning component that designates at least one area of the document for signature tasks by a user (Figure 3, diagram 310, Brown);

a verification component that controls access to the document (column 14, lines 53-57, Brown);

a signing component that allows placement of an electronic signature in the at least one designated area of the document (Figure 3, diagram 326, Brown)

a storing component for storing the documents and associated signature information (Figure 3, diagram 328, Brown)

a retrieval component for allowing review of the document and associated signature information (Figure 3, diagram 330 and column 18, lines 59-65, Brown); and

a remotely located computer-based system in communication with the document processing system via the data network having a user interface component that displays a document on the remote system and interfaces with the document processing system (Figure 3, diagram 320, Brown).

Claims 2, 13 and 21:

Regarding Claims 2, 13 and 21, Brown teaches wherein the registering component registers at least one of: submission date, submission time, document version, ownership or access parameters (column 13, lines 29-30, Brown).

Claims 3, 14, 22 and 31:

Regarding Claims 3, 14, 22 and 31, Brown teaches wherein an encryption component for encrypting the document to protect the contents of the document from being altered (column 11, lines 9-16, Brown).

Claims 4, 15 and 23:

Regarding Claims 4, 15 and 23, Brown teaches wherein the assigning component assigns a deadline for completion of the signature tasks by the user (Figures 8D, all features, Brown).

Claims 5, 16 and 24:

Regarding Claims 5, 16 and 24, Brown teaches wherein the storing component stores the placement location of the electronic signature in the at least one designated area of the document (Figure 3, diagram 326, Brown).

Claim 6:

Regarding Claims 6, Brown teaches wherein the storing component stores information about the user (column 20, lines 14-15, Brown).

Claims 7, 17 and 26:

Regarding Claims 7, 17 and 26, Brown teaches wherein the information about the user comprises the user's electronic signature (Figure 8F, all features, Brown).

Claims 8, 18 and 27:

Regarding Claims 8, 18 and 27, Brown teaches an audit component for auditing the transactional history of the document (column 14, lines 11-17, Brown).

Claim 9:

Regarding Claim 9, Brown teaches wherein the remotely located computer-based system comprises a posting component that manages a secure communication link between the remotely located computer-based system and the document processing computer-based system over the data network (column 16, lines 16-22, Brown).

Claims 10, 11, 19 and 30:

Regarding Claims 10, 11, 19 and 30, Brown teaches wherein the remotely located computer-based system comprises a converting component for converting the document from its native format into a format

that is no longer editable by the application that created it (column 10, lines 13-27, Brown).

Claim 25:

Regarding Claim 25, teaches wherein the storing component stores information about a user associated with the document and the various document signing functions provided by the system (column 11, lines 37-52 and column 12, lines 8-13, Brown).

Claim 28:

Regarding Claim 28, Brown teaches a converting component for converting the document from its naïve format into an alternative format (column 9, lines 3-20, wherein the digest calculator produce change and column 13, lines 13-21, Brown).

**Prior Art Made of Record**

1. Brown et al. (US Patent No. 6,671,805) discloses a computer implemented method for digitally signing an electronic document by a plurality of signers includes determining a signing role of each signer; identifying a to-be-signed portion of the document corresponding to the signing role of each signer; receiving an indication from each signer to digitally sign the document; and applying the digital signature of each signer to the corresponding to-be-signed portion in response to the indication from each signer and wherein a computer-implemented method for processing electronic documents includes receiving a document at a document processing station; reading a processing instruction from a processing portion of the document; identifying a processing service within the document processing station for executing the processing instruction; executing the processing instruction at the document processing station using the identified processing service; and applying a digital signature of the document processing station to the document after the processing is executed.

2. Bisbee et al. (US Patent No. 6,367,013) discloses digital signatures are not valid indefinitely but only during the validity periods of their authentication certificates, which themselves are not indefinite but typically expire in order to limit the chances for compromise of the digital signatures.

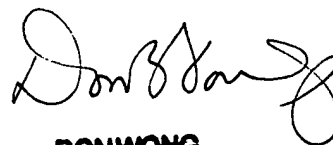
### **Point of Contact**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Helene Rose whose telephone number is (571) 272-0749. The examiner can normally be reached on 8:00am - 4:30pm Monday-Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Don Wong can be reached on (571) 272-1834. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Helene Rose  
Technology Center 2100  
June 24, 2006



**DON WONG**  
**SUPERVISORY PATENT EXAMINER**